

Applicant or Patentee: Gang Sun, et al. Docket No. 18062G-003000US  
Serial or Patent No.: 09/535,348 U. C. Case No. 2000-341-1  
Filed or Issued: March 24, 2000  
For: N-HALAMINE VINYL COMPOUNDS AND THEIR POLYMERIC BIOCIDES



**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS**  
**[37 CFR § 1.9(f) and § 1.27(d)]--NONPROFIT ORGANIZATION**

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF ORGANIZATION: **The Regents of the University of California**  
ADDRESS OF ORGANIZATION: **1111 Franklin Street, 12<sup>th</sup> Floor**  
**Oakland, California 94607-5200**

**TYPE OF ORGANIZATION**

- ☒ UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION  
☒ TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE [26 USC § 501(a) and § 601(c) (3)]  
☐ NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OR THE UNITED STATES OF AMERICA  
    (NAME OF STATE \_\_\_\_\_)  
    (CITATION OF STATUTE \_\_\_\_\_)  
☐ WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE [26 USC § 501(a) and § 501(c) (3)] IF  
    LOCATED IN THE UNITED STATES OF AMERICA  
☐ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED  
    STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA  
    (NAME OF STATE \_\_\_\_\_)  
    (CITATION OF STATUTE \_\_\_\_\_)

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR § 1.9(e) for purposes of paying reduced fees under section 41(a) or (b) of Title 35, United States Code with regard to the invention entitled  
**N-HALAMINE VINYL COMPOUNDS AND THEIR POLYMERIC BIOCIDES**  
by inventor(s) Gang Sun and Yuyu Sun described in

☐ the specification filed herewith  
☒ application serial no. 09/535,348 filed March 24, 2000  
☐ Patent no. \_\_\_\_\_, issued \_\_\_\_\_

I hereby declare that rights under **contract or law** have been conveyed to and remain with the nonprofit organization with regard to the above identified invention [except for a license to a Federal Agency pursuant to USC § 202 (c) (4)].

If the rights held by the nonprofit organization are not exclusive, each individual, concern, or organization having rights to the invention is listed below\* and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR § 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR § 1.9(d) or a nonprofit organization under 37 CFR § 1.9(e).

\*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities (37 CFR § 1.27).

NAME Halosource  
ADDRESS 3005 First Avenue, Suite 300, Seattle WA 98121-1010  
[ ] INDIVIDUAL [ x ] SMALL BUSINESS CONCERN [ ] NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. [37 CFR § 1.28(b)]

I hereby declare that all statements made of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like are punishable by fine of imprisonment, or both, under 18 USC § 1001, and may jeopardize the validity of the application, any patent issuing thereon, or any patent which this verified statement is directed.

NAME OF PERSON SIGNING: **Linda S. Stevenson**  
TITLE IN ORGANIZATION: **Manager, Patent Prosecution, Office of Technology Transfer**  
ADDRESS OF PERSON SIGNING: **1111 Franklin Street, 5<sup>th</sup> Floor**  
**Oakland, California 94607-5200**

SIGNATURE Linda S. Stevenson DATE \_\_\_\_\_

Applicant or Patentee: Gang Sun, et al. Docket No. 18062G-003000US  
Serial or Patent No.: 09/535,348 U. C. Case No. 2000-341-1  
Filed or Issued: March 24, 2000  
For: N-HALAMINE VINYL COMPOUNDS AND THEIR POLYMERIC BIOCIDES

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS**  
**[37 CFR § 1.9(f) and § 1.27(c)]--SMALL BUSINESS CONCERN**

I hereby declare that I am

- ☐ the owner of the small business concern identified below:  
☒ the official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF CONCERN: Halosource Corporation

ADDRESS OF CONCERN: 3005 First Avenue, Suite 300, Seattle WA 98121-1010

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 37 CFR § 1.21.3-18, and reproduced in 37 CFR § 1.9(d), for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time, or temporary basis during each of the pay periods of the fiscal year, (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party, or parties controls or has power to control both.

I hereby declare that the rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention, entitled N-HALAMINE VINYL COMPOUNDS AND THEIR POLYMERIC BIOCIDES  
by inventor(s) Gang Sun and Yuyu Sun described in \_\_\_\_\_

- ☐ the specification filed herewith  
☒ application serial no. 09/535,348, filed March 24, 2000  
☐ Patent no. \_\_\_\_\_, issued \_\_\_\_\_

If the rights held by the small business concern are not exclusive, each individual, concern, or organization having rights to the invention is listed below\* and no rights to the invention are held by any person, other than the inventor, who could not qualify as an independent inventor under 37 CFR § 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR § 1.9(d) or a nonprofit organization under 37 CFR § 1.9(e).

\*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities (37 CFR § 1.27).

NAME The Regents of the University of California

ADDRESS 1111 Franklin Street, 12<sup>th</sup> Floor, Oakland, California 94607-5200

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☒ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. [37 CFR § 1.28(b)]

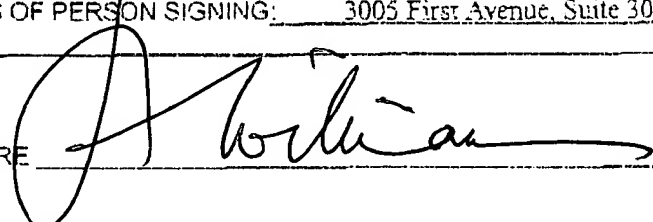
I hereby declare that all statements made of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that wilful false statements and the like are punishable by fine of imprisonment, or both, under 18 USC § 1001, and may jeopardize the validity of the application, any patent issuing thereon, or any patent which this verified statement is directed.

NAME OF PERSON SIGNING: Jeffrey F. Williams Ph.D.

TITLE IN ORGANIZATION: CEO and President

ADDRESS OF PERSON SIGNING: 3005 First Avenue, Suite 300, Seattle WA 98121-1010

SIGNATURE



DATE

July 13 00



# DECLARATION


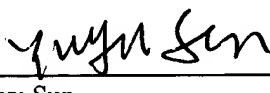
As a below named inventor, I declare that:

My residence, post office address and citizenship are as stated below next to my name; I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural inventors are named below) of the subject matter which is claimed and for which a patent is sought on the invention entitled: **N-HALAMINE VINYL COMPOUNDS AND THEIR POLYMERIC BIOCIDES** the specification of which   X   was filed on March 24, 2000, as Application No. 09/535,348.

I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above. I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, Section 1.56. I claim foreign priority benefits under Title 35, United States Code, Section 119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed.

Full Name of Inventor 1:	Last Name: <b>SUN</b>	First Name: <b>GANG</b>	Middle Name or Initial:	
Residence & Citizenship:	City: <b>Davis</b>	State/Foreign Country: <b>CA</b>	Country of Citizenship: <b>China</b>	
Post Office Address:	Post Office Address: <b>2600 Syracuse Ct.</b>	City: <b>Davis</b>	State/Country: <b>CA</b>	Postal Code: <b>95616</b>
Full Name of Inventor 2:	Last Name: <b>SUN</b>	First Name: <b>YUYU</b>	Middle Name or Initial:	
Residence & Citizenship:	City: <b>Davis</b>	State/Foreign Country: <b>CA</b>	Country of Citizenship: <b>United States</b>	
Post Office Address:	Post Office Address: <b>200 Solano Park Cir., Apt. 3L</b>	City: <b>Davis</b>	State/Country: <b>CA</b>	Postal Code: <b>95616</b>

I further declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Signature of Inventor 1  Gang Sun	Signature of Inventor 2  Yuyu Sun
Date <u>07/11/2000</u>	Date <u>07/12/2000</u>

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